



WARNER CONSULTING

IN ASSOCIATION WITH UMD PROFESSIONAL LTD

LAW FIRM RISK AND COMPLIANCE PROGRAMME

**Leading to the
Institute of Leadership and Management's
Level 7 Certificate in Executive Management**

PROSPECTUS 2013

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1 INTRODUCTION

The Law Firm Risk and Compliance Programme is one of the most comprehensive programmes of its nature available. It provides a sound and comprehensive grounding in the major elements of compliance and risk management required in the successful law firm. The programme is highly practical and has been designed to integrate with the demands of practice as well as providing extensive and in-depth learning of the principles and practical application of compliance and the SRA regulatory framework. In addition there is the option to carry out assignments in practice and gain the ILM Level 7 Certificate in Executive Management which provides excellent evidence of the effective management of the firm for a regulator.

The one year course is suitable for those holding the position of the COLP and COFA,, Partners, Risk and Compliance Managers and practice managers. It focuses on the practical application of business and senior management tools to achieve a high level of compliance with the SRA regulatory framework within the individual's law firm.

Warner Consulting are experts in SRA Compliance, with a wealth of experience on both sides of the fence from working for law firms and regulators. UMD Professional have been providing business and management training in the professions for more than twenty years and are a leading provider of management qualifications. Their programmes for professional practices have twice won National Training Awards, and their courses are widely recognised for their success in helping participants to develop more effective management skills.

2 THE OPTIONAL QUALIFICATION

The programme can be taken as a comprehensive stand-alone management course but it also

- provides 40 hours of accredited CPD,
- leads to a post-graduate level qualification, the Institute of Leadership and Management (ILM) Level 7 Certificate in Executive Management. The ILM is a respected national management institute with a track record in the delivery of management training and qualifications, and successful completion of this provides eligibility for membership of the Institute (MInstILM) (subject to a minimum number of years of management experience).

3 ENTRY REQUIREMENTS

To undertake this programme you should be:

- A principal, partner, or director of a law firm
- COLP or COFA
- Risk and Compliance Manager

- A practice manager
- A practice manager aspiring to work at a senior level within a law firm.

4 WHAT DOES THE COURSE INVOLVE?

This is a highly participative blended learning programme involving a combination of

- Four full day participative workshops (every quarter)
- Video and written distance learning materials provided on-line
- Monthly webinars in the intervening months between workshops (these are also recorded for later viewing) and
- One-to one support with a dedicated management mentor for two hours a month.

The workshops provide not just input from tutors and workshop facilitators, but also involve management exercises, case studies, discussions and group work. They are highly practical and use practical examples and case studies of law firms. During the workshops you will work in teams, and can expect a highly interactive approach to learning.

The webinars pick up on key themes of the workshops and are usually held at lunchtime or in the early evening to fit around business commitments. They provide the opportunity to look in more depth at and provide a different perspective on specific topics arising from the workshops.

The management mentor provides one-to-one support and advice on issues related to the workshop content, and on how to tackle the assignments which form the optional assessment part of the course. They can also act as a useful sounding board for how to implement what is covered in the workshops in practice.

The workshops and webinars are supported by a reference manual and notes which are downloaded from our website. These materials provide much of the theoretical background to the course and provide notes, reading and exercises for completion.

5 WHAT DOES THE COURSE COVER?

The course covers the following subjects:

<p>PERSONAL MANAGEMENT SKILLS</p> <p>Duties of compliance officers (COLP and COFA) and regulatory requirements Leadership Problem-solving and decision-making Interpersonal relationships Influencing skills</p>	<p>FINANCIAL MANAGEMENT</p> <p>Understanding and improving financial performance Financial control Financial decision-making Complying with SRA Accounts Rules</p>
<p>PUBLICITY, MARKETING & CLIENT NEEDS</p> <p>Organisational analysis Market analysis Planning to fulfil client care requirements Marketing techniques and compliance Complaint handling</p>	<p>EFFECTIVE HR MANAGEMENT</p> <p>Managing teams Meeting Equality and Diversity requirements Performance management Policies for training and CPD</p>
<p>INTEGRATED MANAGEMENT</p> <p>The regulatory environment Strategy and planning Organisation structure and culture</p>	<p>COMMUNICATION</p> <p>Managing meetings Decision-making skills Organisational communication</p>
<p>CHANGE MANAGEMENT</p> <p>Planning and implementing change Economic and political influences and external factors and stakeholders Implementing strategy successfully</p>	<p>MANAGING QUALITY</p> <p>Ensuring quality Managing efficiently Managing business risk Knowledge management</p>

6 THE TUTORIAL AND TRAINING TEAM

The team comprises experienced Warner Consulting and UMD Professional trainers and assessors, approved by the ILM, and the team is led by Peter Warner, solicitor and expert on compliance issues. The team also includes Fiona Stuart-Wilson, John Shepherd, Roger Lilley, and Mike Grace. The team has extensive experience of working with law firms and professional practices and interpreting regulatory requirements, and all have significant practical senior management experience.

7 WHAT DO THE WORKSHOPS AND WEBINARS COVER?

The workshops are highly practical and have been designed to provide the participants with relevant experience of different areas of regulation and management. This is achieved through the use throughout the workshops of an extended case study. During the workshops, participants will work in small teams, and can expect a highly interactive approach to learning. The webinars pick up key themes from the workshops and consider these in more detail. A schedule of the workshops and webinars set out below although the exact order of workshops may vary from programme to programme:

Workshop 1	The regulatory environment and managing change
Webinar	Equality and diversity
Webinar	Managing change
Workshop 2	Managing client requirements
Webinar	Client care
Webinar	Managing complaints
Workshop 3	Financial management
Webinar	Complying with SRA Accounts Rules
Webinar	Managing financial risk
Workshop 4	Managing quality and managing risk
Webinar	Risk management approaches
Webinar	Managing quality

8 WHAT SUPPORT CAN I EXPECT?

You will be assigned a tutor/mentor, and will have access to them for two hours a month over the course of the programme on-line, via e-mail or by telephone for support.

You will also receive a downloadable reference manual for each workshop.

9 HOW IS THE CERTIFICATE ASSESSED?

If you decide to work towards the ILM Level 7 Certificate in Executive Management, there is no examination. Instead, participants will need to complete satisfactorily a series of work-based assignments in line with the deadlines given. The assignments are based on the management of compliance within your firm and are designed to help you put theory into practice. You will need to submit these in line with the timescales set, and you will receive written feedback on your work.

Much of the study for the assignments centres around systems and procedures that you will introduce or review as part of the regulatory framework and is therefore work-based learning, but candidates for the Certificate should allow expect to allow approximately three hours a week to study for the Certificate.

UMD Professional's role is to lead and support you through the whole learning process. Most importantly, we believe that you should be able to implement what you have learned in your firm, and your tutor/mentor and the rest of the delivery team are concerned to ensure that you are able to achieve this.

10 FEES

The fees for the programme are **£3600 plus VAT**. Course fees are due in full at the start of the course, but as a concession can be paid in **twelve monthly instalments of £335 by Standing Order** after the initial deposit of £300 has been paid.

There is a 5% discount on the fees, if these are paid in full at the beginning of the course, which means that the fees are reduced to £3420 plus VAT. .

These fees exclude registration fees with the ILM which are currently £164 and are paid separately at the start of the course.

A non-refundable deposit of £300 is required with each booking.

11 WORKSHOP DATES AND VENUES

The workshops are held from 10 a.m. until 5 p.m. on the dates shown.

	Central London 2013 (Fridays)	Manchester 2013 (Thursdays)
Online induction (one hour - also recorded for later viewing)	Wednesday 10 April 2013	Wednesday 10 April 2013
Workshop 1	26 April 2013	25 April 2013
Workshop 2	12 July 2013	16 July 2013 (Tuesday)
Workshop 3	18 October 2013	24 October 2013
Workshop 4	6 December 2013	5 December 2013

Webinars will be held between the workshops on dates to be arranged.

12 BOOKING A PLACE

To book a place on the programme, please complete the attached booking form and the agreement and terms and conditions, and return both of them to Penny Parry together with a deposit cheque for £300. Numbers on each course are limited, and early application is advised in order to secure a place.

Please make sure that you read the terms and conditions carefully before you sign as they constitute a legally binding document and contract with UMD Professional Ltd and contact Penny Parry if you have any questions.

**APPLICATION FOR ENROLMENT
LAW FIRM RISK AND COMPLIANCE PROGRAMME 2013
ILM LEVEL 7 CERTIFICATE IN EXECUTIVE MANAGEMENT**

Delegate Name

Firm

Address

.....

.....

Daytime telephone number

E-mail address.....

I wish to enrol on the Law Firm Risk and Compliance Programme in

London **Manchester**

Please register me for the qualification. I understand I will be invoiced for this separately.

Invoicing details

I am paying my own fees The firm is paying my fees

Name and address for invoicing purposes if different from delegate name and address

.....

.....

I confirm that the firm is paying for this delegate named above.

Authorised signatory for firm

Please enrol the delegate on the programme indicated above

I would like to pay for the course by:

Cheque (in full) Standing Order (12 instalments)

I enclose my deposit of £300 (cheque payable to UMD Professional Ltd) and the signed terms and conditions.

SignedDated.....

AGREEMENT AND TERMS AND CONDITIONS OF BUSINESS

1. UMD Professional Ltd will be referred to as the Company from this point forward. **This agreement will refer to the firm or the individual responsible for paying the invoice as the client and the participant on the course as the delegate.**
2. Once a booking has been confirmed by the Company then the Company cannot accept any responsibility or liability if the client or delegate defaults from the booking. No fees will be refunded if the delegate does not complete the course, or the qualification element of the course or attend the workshops, and fees will remain payable in full, unless point 10 applies.
3. The full course fee becomes due when the Company confirms the delegate's place on the course and can be paid in full on presentation of invoice by cheque or BACS transfer, or by Standing Order.
4. The Company cannot accept responsibility or liability if the delegate fails to complete the course because of an effect or omission on the part of the client or delegate. Therefore, the delegate must ensure that s/he is able to meet the requirements of the course before the commencement of the course.
5. The Company reserves the right to cancel courses that do not attract sufficient numbers of delegates to ensure viability. The Company reserves the right to make appropriate changes to the course timetable and content or to cancel a course due to circumstances beyond its control and liability shall be limited to the refund of fees paid in this instance.
6. The Company reserves the right to postpone a course or individual workshop within the course due to unforeseen circumstances or to offer alternative arrangements without liability for any consequential or indirect loss.
7. If the Company cancels the whole course all monies paid by the client to UMD Professional Ltd in respect of the course fees will be returned to the client.
8. Where the client applies to pay course fees by Standing Order the Company reserves the right to check the Client's credit worthiness prior to confirming the delegate's place, and to refuse the option of paying by Standing Order.
9. Where the client elects to pay for the course fees by Standing Order, if the client cancels the Standing Order or misses a Standing Order payment, the remainder of any fees outstanding will be payable in full within 30 days of the missed Standing Order payment date .
10. If a delegate withdraws from the course or cancels their place after their booking has been confirmed the client will be charged up to the full fee for the course depending on the length of notice given

Days notice of cancellation prior to the commencement of the course	% of fee to pay
More than 42 days prior to the start of the course	Deposit
28 – 41 days prior to the start of the course	50% of fee
14 – 27 days prior to the start of the course	75% of fee
Less than 14 days prior to the start of the course	100% of fee

Please read the above, sign this copy and return to Penny Parry at UMD Professional Ltd, SBC House, Restmor Way, Hackbridge Road, Wallington, Surrey, SM6 7AH, together with your application form for enrolment and deposit cheque.

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Delegate Name

.....
Delegate signature or Client signature if sponsored

.....
Name and position of signatory

.....
Date